

PART I

**AUTHORITY AND PROCEDURES FOR RECORDS
DISPOSITION PROGRAM**

1. The Navy Directives and Records Management Branch (N09B35), Office of the Chief of Naval Operations. Is designated as the Navy liaison with the National Archives and Records Administration regarding naval records disposition. N09B35 is designated as the single approval authority for transfer of records to the custody of the National Archives per reference (c).

2. Statutory and Regulatory Authority. The disposition of Government records is given legal status by the Records Disposal Act of 1943, as amended, the Federal Records Act of 1950, 36 Code of Federal Regulations (CFR) Chapter XII, and Navy Regulations.

a. The Federal Records Act of 1950. The Federal Records Act of 1950 provides that, as part of the responsibility for the establishment of a continuing agency-wide records program, the Secretary of the Navy should propose retention and disposal instructions for all major series of Navy records and, once approved by the Archivist of the United States, ensure the proper application of these mandatory instructions.

b. U.S. Navy Regulations 1990, Article 1127. No person, without proper authority, shall withdraw official records or correspondence from the files, or destroy them, or withhold them from those persons authorized to have access to them.

c. Mistreatment of Government Records. Provisions of law prescribing the mistreatment of Government records are most stringent. Title 18, United States Code delineates a wide range of impermissible conduct, illustrating the rigorous care required in the handling of such records.

3. Goals of Records Disposal Program

a. Within the legal framework provided by law and Navy Regulations, the DON's records disposition program has as its principal goals:

(1) creation of records that adequately document the organization, functions, policies, procedures, decisions and essential transactions of the DON;

(2) preservation of records having long-term permanent worth because of their continuing administrative, legal, scientific, or historical values;

(3) destruction of temporary records as they outlive their usefulness; and

(4) retirement and transfer of those records no longer required in the conduct of daily business to more economical storage.

b. Accomplishment of these goals will reduce maintenance costs and, at the same time, provide management with more efficient records to conduct its daily business. In meeting these goals, the immediate objectives are:

(1) to annually dispose of a volume of records at least equal to volume created;

(2) to decrease the volume of records in high-cost office spaces by destroying nonrecord material and increasing the volume of short-term records transferred to authorized local storage space and the transfer of long-term and permanent records to Federal Records Centers (FRCs);

(3) to reduce not only the number and volume of long-term or permanent naval records, but also increase the significance of those to be preserved; and

(4) to ensure that all records are programmed for retention or periodic destruction and that every activity and office properly applies the retention standards specified in this instruction.

4. Information Security. The DON Information Security Program Regulation (OPNAVINST 5510.1H) provides for the destruction of classified matter. This and other regulations for safeguarding security information shall be followed at all times in applying the provisions of this instruction.

5. Provisions for Emergency Destruction of Records. DON records may be destroyed without regard to the above statutory and regulatory requirements under two emergency conditions. These are provided for in the Records Disposal act of 1943.

a. When a State of War Exists or is Threatened. When the United States is at war with another nation or hostile actions appears imminent, naval records held outside the territorial limits of the continental United States may be authorized for emergency destruction. This authorization may come from the Secretary of the Navy or the head of the command having custody of the records. However, prior to destruction, it must be determined that: retention of the records would be

prejudicial to United States interests; or the records occupy space urgently needed for military purposes and are without sufficient value to warrant continued preservation. Within 6 months after the disposal of any records under this authorization, submit a written statement describing the records and showing when and where disposal occurred to the Office of the Chief of Naval Operations (CNO) (N09B35). For Marine Corps records, submit written statement describing the records and showing when and where disposal occurred to the Commandant of the Marine Corps (ARAE).

b. When Records Menace Property, Health, or Life. Records such as nitrocellulose base film or tape sometimes become a menace to property, health, or life. Under such circumstances, 36 CFR 1228.92 provides for their emergency destruction regardless of their retention period. If any naval record constitutes such a menace, a request shall be made for its emergency destruction to CNO (N09B35) via the administrative chain of command. CNO (N09B35) will determine whether or not immediate destruction is warranted and, when necessary, obtain the concurrence of the Archivist of the United States. If any Marine Corps records constitute such a menace, a request shall be made for its emergency destruction to CMC (ARAE) via the appropriate chain of command. CMC (ARAE) will determine whether immediate destruction is warranted and, when necessary, obtain the concurrence of the Archivist of the United States.

6. Accidental Destruction of Records. The accidental destruction of records will be reported to the CNO (N09B35). Marine Corps records will be reported to CMC (ARAE). This report will include:

- a. A complete description of the records destroyed, including dates of records if known.
- b. Volume destroyed in cubic feet; if machine readable cite the number of reels.
- c. The office of origin.
- d. A statement of the circumstances surrounding the destruction.
- e. A statement of the safeguards and planned procedures to be instituted to prevent further instances of loss of documentation.

7. Provisions for Transferring Records to Other Custody. Naval/Marine Corps records may be moved and assigned to other custody within the Naval/Marine Corps establishment, to Federal Records Centers (FRCs), to the National Archives and Records Administration

(NARA), or to other government agencies. When moving the records involves a change in custody, the move is referred to as a records transfer. Changes in location within the activity, usually by removal to local storage areas, are referred to as records retirement. The subparagraph immediately following prescribes policies and procedures for transfer involving changes in custody of records. (See appendix F for definitions of physical and legal custody.)

a. Transfer to Federal Records Centers. FRCs store records in cardboard cartons on steel shelving in low-cost, warehouse-type space. (See appendix C for proper transfer procedures.)

(1) Activities are authorized to transfer records to FRCs without departmental approval when:

(a) Records are specifically designated in this instruction for periodic transfer;

(b) Records have at least 1-year retention period at the FRC;

(c) Records are inactive and are not required for local operating purposes; and

(d) It is cost effective to transfer the records to FRC rather than store them locally; i.e., transportation to the center and center storage costs will not outweigh local storage costs; or

(e) Records are designated in this instruction for permanent retention.

(2) Activities should not transfer records to FRCs when:

(a) Inactive files are eligible for destruction within 1-year;

(b) The quantity of a particular record series is less than 1 cubic foot (retain small accumulations on board until the retention period expires or until quantity accumulated is sufficient to justify transfer); or

(c) Cost of transfer and storage at FRC outweighs cost of local storage.

(3) Except when categories of Naval/Marine Corps records are designated specifically in parts III, IV and V of this manual for transfer to a single FRC for convenience of administration and reference, activities shall transfer eligible records to the appropriate FRC servicing the area. Records should be transferred earlier

than scheduled only if prior approval is obtained from the FRC, local storage space is not available and reference requirements are such that transfer will not hinder the activity's operations.

b. Transfer to NARA. NARA accessions records that have sufficient research, legal, scientific, historical, or other values to warrant their permanent preservation by the Government. Records that the DON has appraised as having these values are listed in parts III, IV and V of this instruction as "permanent" records. Records transferred to NARA may be referenced or withdrawn per procedures outlined in paragraph 7.

c. Transfer to Other Government Agencies or to Non-Federal Institutions. When the public interest will be served, records authorized for disposal may be offered to an eligible person, organization, institution, corporation, or government (including a foreign government) that has made application for them. Records will not be transferred without prior written approval of NARA. Request such approval via CNO (N09B35), or CMC (ARAE) for Marine Corps records, and include the following:

- (1) Name of the command having custody of the records;
- (2) Name and address of the proposed recipient of the records;
- (3) A list containing:
 - (a) Records series description, including Standard Subject Identification Codes (SSICs);
 - (b) Inclusive dates of each series; and
 - (c) The authorized disposal citation (i.e., SECNAVINST 5212.5D, SSIC 6010.1d);
- (4) A statement providing evidence:
 - (a) That the proposed transfer is in the best interests of the Government;
 - (b) That the proposed recipient agrees not to sell the records; and
 - (c) That the transfer will be made without cost to the U.S. Government.
- (5) A certification that:

(a) The records contain no information the disclosure of which is prohibited by law or contrary to the public interest; and/or

(b) The records proposed for transfer to a person or commercial business are directly pertinent to the custody or operations of properties acquired from the Government; and/or

(c) The foreign government desiring the records has official interest in them.

d. Transfers Within the Department of Defense (DOD). Transfers of records within DOD usually involve the transfer of functions. In such instances, the transfer of records is needed to assure the continuity of functions. Negotiate such transfers between the activities and offices concerned. Prior approval is not required, but a copy of the agreement or report accomplishing the transfer shall be submitted to CNO (N09B35) or the CMC (ARAE) for Marine Corps activities.

e. Transfers Within the Department of the Navy (DON). Transfers within DON are negotiated between the organizational components concerned. Approval for such transfers is not required but notify CNO (N09B35), or the CMC (ARAE) for Marine Corps activities, of the organizational components and records involved in the transfer.

f. Transfer of Records of Decommissioned Ships and Disestablished Shore Activities and Aviation Squadrons

(1) Host commands of disestablished tenant shore activities

(a) Publish guidance to be followed by disestablished tenant shore activities.

(b) Provide local storage areas for records with a retention period of less than 1 year. Maintain a record of storage box location (i.e., box list, floor plan, etc.) which permits easy access to stored records for reference and allows systematic disposal of records at the end of the 1-year retention period.

(c) Conduct periodic review of stored records to ensure timely destruction of eligible records.

(2) Disestablished shore activities

(a) Follow guidance of host command in preparing and transferring records.

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(b) Transfer records with less than 1-year retention period to the host command following their guidance. Mark both ends of all records storage boxes with the disposal month and year. Provide a detailed list of the material to the host command and to the immediate superior in command (ISIC).

(c) Transfer records with more than 1-year retention period to the appropriate FRC following transfer procedures outlined in appendix C of this instruction. Provide copies of Standard Forms (SF) 135s with a detailed list of records transferred, to the host command and the ISIC.

(3) Decommissioned ships. Transfer records following Part IV of this instruction. Provide copies of SF 135s with a detailed list of records transferred, to the host command and the ISIC. Type commanders of decommissioned ships will maintain the record copy of the SF 135s.

8. Procedures for Transferring Records to Federal Records Centers. When transferring Naval/Marine Corps records to FRCs, the detailed procedures contained in appendix C must be followed. Problems arise when these procedures are not followed. No DON command or activity is exempt. If correct transfer procedures are not followed or proper records transfer documents not provided, the entire records shipment will be returned to the transferring command or the ISIC for correction.

9. Destruction of Records in the Custody of FRCs. FRCs automatically destroy temporary records in their physical custody upon expiration of their retention periods. At least 90 days prior to destruction, the transferring activity is sent a NA Form 13001 "Notice of Intent to Destroy Records". If destruction is approved, no further action is required. Records will be destroyed automatically if the FRC does not receive DON's response within 90 calendar days. However, if audit, legal or other pertinent issues dictate longer retention, activities should act quickly to request an exemption from NARA via CNO (N09B35), or CMC (ARAE) for Marine Corps activities. This request should state the specific circumstance requiring longer retention and an estimated destruction date. See appendix H for the handling of this and other notices from FRCs.

10. Access and Reference to Records Transferred. NARA and FRCs provide prompt reference service on or access to records in their custody under the conditions outlined in subparagraphs a and b below.

a. NARA The Archivist of the United States is

authorized to grant access to or release information from the permanent Navy and Marine Corps unclassified records in NARA's legal custody per the Freedom of Information Act.

b. FRCs FRCs will furnish information or documents only by authority of the record group manager and in some cases to personnel of the activity that transferred the records. Requests for access or information from other than authorized personnel will not be honored. If the activity has been disestablished, obtain approval from the cognizant records manager. An exception of the above rule shall apply, if at the time of transfer the transferring activity grants blanket approval to FRCs releasing information to those properly and rightfully concerned. Activities are encouraged to grant such blanket authority on routine, unrestricted and unclassified files. Note the blanket authority on the SF 135, at the time of transfer.

c. Reference Services Provided. The NARA and the FRCs normally provide:

- (1) Information over the telephone (in emergencies only);
- (2) Authenticated copies of documents (for a fee);
- (3) Original documents on a loan basis; and
- (4) Information extracted from the records (provided prior arrangements are made and personnel are available).

d. How to Obtain Reference Service from NARA or FRCs. Requests for FRC reference services shall be made in writing on Optional Form (OF) 11 directly to the Records Center by the requesting activity. Centers also will grant authorized personnel access to review the records at the centers (see appendix D). Requests for reference service from the NARA shall be made only through command records managers.

e. Withdrawal of Records from the NARA or FRCs. Records transferred to the custody of the FRCs may be withdrawn for reference on a 30-day loan basis as outlined in subparagraphs c and d.

f. Return of Loaned Records to the FRCs. Check the procedures in appendix D, paragraph 5 for returning loaned records.

11. Cutting Off Records/Files. To cut or break files, terminate a record series on a given date or after a specified event or action. Files should be cut off or

broken periodically in order to facilitate disposal actions and reference to current records.

a. Establishing Cut Off Periods. Establish specific cut off periods for each record series accumulated. This allows disposal or transfer to occur in uniform chronological blocks.

(1) Terminate correspondence files and most other general files, as well as numerical files or documents, annually at the end of the calendar year. Break fiscal and accounting records annually at the end of the fiscal year.

(2) Terminate case files when action has been completed or upon the occurrence of a particular event or action. For example, certain contract files are removed from the current file and placed in the completed file when all shipments have arrived or final payment under the contract has been made. Some personnel records are removed from the current file on the occurrence of a particular event, e.g., when an individual is separated.

(3) If files are eligible for destruction when less than 1 year old, they should be cut off at shorter intervals. For example, cut off files eligible for destruction when 6 months old at the end of 6 months; those eligible for destruction when 3 months old at the end of 3 months. Consider continuity, use, and volume, as well as the retention period, as factors. A good general rule to follow is to set cut off periods according to the volume and retention period.

b. Retiring Cut Off Files. Move cut off or terminated files to lower file drawers or to other less convenient office spaces.

c. Restrictions on transferred records

(1) Freedom of Information Act (FOIA). Restrictions may be necessary or desirable on the use or examination of specific records. These restrictions must be justified and the statute or FOIA exemption (5 U.S.C. 552(b)) must be cited that authorizes placing restrictions on the use or examination of records being considered for transfer. If NARA agrees, restrictions will be placed on the records.

(2) Records less than 30 years old. Unless required by law, NARA will not remove or relax restrictions placed upon records less than 30 years old without the concurrence in writing of CNO (N09B35), or CMC (ARAE) for Marine Corps activities.

(3) Records 30 or more years old. After records have been in existence for 30 years or more, statutory or other restrictions shall expire unless NARA determines, after consulting with CNO (N09B35), or CMC (ARAE) for Marine Corps activities, that the restrictions shall remain in force for a longer period. NARA has identified specific categories of records, including classified information and information that would invade the privacy of an individual, which may require extended protection beyond 30 years.

(4) Privacy Act (PA). For records constituting systems of records subject to the Privacy Act of 1974 (5 U.S.C. 552a), CNO (N09B35), or CMC (ARAE) for Marine Corps activities, shall attach the most recent Navy Privacy Act system notice covering the records to the SF 258.

12. Retiring Records to Local Storage Areas. Most Naval/Marine Corps records are short-term temporary records eligible for destruction in less than 2 years, and the bulk of these have retention periods of 1 year or less. These short-term records (retention periods of less than 1 year) should be cut off at regular intervals, retired locally, and destroyed by the accumulating activity as soon as their retention periods have expired. Generally, it is not economical to transfer them to FRCs.

a. Establishing Local Storage Areas. Some activities have found it advisable and economical to establish local records storage facilities for short-term temporary records. See appendix E for Navy records centers standards. Establishment of such local facilities is permissible under the following conditions:

(1) The records storage area is less than 5,000 square feet and records being held are less than 1 year old. When the parameters are exceeded, the holding area is considered a Navy records center and the standards of appendix E must be applied.

(2) The records storage area is unattended. Necessary references to the records are provided by the file unit or other organization retiring the records. If additional personnel resources are required to maintain a records holding area, FRCs can provide more economical storage.

(3) Records are stored without the use of specialized storage equipment. If specialized storage equipment is required, the FRCs can provide more economical storage.

(4) Unused storage-type space is locally available,

e.g., in basements, vacated warehouses, or other unoccupied space that is not suitable for normal office use. Usable office space should not be used.

b. Records Eligible for Local Retirement. The following records may be retired to local storage areas:

(1) Short-term records eligible for destruction in less than 1 year; and

(2) Long-term records that must be retained close at hand until frequency of reference to the records will permit their transfer to an FRC.

Establish specific retirement periods for records eligible for local storage, taking into consideration the volume, use, and frequency of reference to the records.

13. Temporary Records Interfiled With Other Records. Dispose of records series as a "block" wherever possible. Documents that must be maintained for substantially longer or shorter periods of time than other portions of the file should be physically separated and filed as individual records series. While physical separation of these records is preferable, some file series—such as general correspondence files—may contain material having different retention values. When the file volume is small and the difference between retention periods is not substantial, the entire file may be retained as a "block" and disposed of upon expiration of the longest retention period applicable. But when the differences are substantial, identify each file category and mark appropriately for disposal as a separate records series. Moreover, identify and clearly mark any temporary records interfiled with permanent records. Any temporary records interfiled with permanent records must be removed before storage in an FRC.

14. Personal Papers

a. Personal papers are documentary materials, or any reasonably segregable portion thereof, of a private or nonpublic character that do not relate to, or have an effect upon, the conduct of agency business. Personal papers are excluded from the definition of Federal records and are not owned by the Government: Examples of personal papers include:

(1) Materials accumulated by an official before joining Government service that are not used subsequently in the transaction of Government business;

(2) Materials relating solely to an individual's private affairs, such as outside business pursuits, professional affiliations, or private political associations

that do not relate to agency business; and

(3) Diaries, journals, personal correspondence or other personal notes that are not prepared or used for, or circulated or communicated in the course of, transacting Government business.

b. Personal papers shall be clearly designated as such and shall at all times be maintained separately from the office's records.

c. If information about private matters and agency business appears in the same document, the document shall be copied at the time of receipt, with the personal information deleted, and treated as a Federal record.

d. Materials labeled "personal," "confidential," or "private," or similarly designated, and used in the transaction of public business, are Federal records subject to the provisions of pertinent laws and regulations. The use of a label such as "personal" is not sufficient to determine the status of documentary materials in a Federal office.

e. "Personal Papers" category does not apply to calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of Federal employees while serving in an official capacity, if they are prepared or used for, or circulated or communicated in the course of, transacting Government business.

15. Preservation of Facsimile Transmissions as Federal Records

Facsimile transmissions have the same potential to be Federal records as any other documentary materials received in Federal offices. They are Federal records when (1) they are received in connection with agency business and (2) they are appropriate for preservation as evidence of agency organization and activities or because of the value of the information they contain.

a. All thermal paper facsimiles that are Federal records should be copied on plain paper at the time of receipt.

(1) This guidance does not apply to advance copies of materials on which no documented administrative action is taken. Such advance copies are non-record materials and may be destroyed immediately upon receipt of the original document.

(2) This guidance does apply to advance copies if

the receiving office intends to circulate the advance copy for official purposes such as approval, comment, action, recommendation, or follow-up. In such instances, the advance copy is a Federal record and should be treated accordingly.

b. Plain paper copies of facsimiles that are Federal records should be filed in accordance with the guidelines set forth in this instruction.

c. Commands that anticipate receiving large volumes of facsimile transmissions that are Federal records should consider purchasing a facsimile machine that produces plain paper copies by a xerographic process.

d. Facsimile message leaders, such as cover sheets, headers, and boxed notes, should advise the recipient to replace thermal paper facsimiles that are records with a plain paper copy. A recommended advisory is: "WARNING: Most Fax machines produce copies on thermal paper. The image produced is highly unstable and will deteriorate significantly in a few years. It should be copied on a plain paper copier prior to filing as a record."

e. The guidance in this instruction should be incorporated into appropriate command directives and distributed to all offices that receive facsimile transmissions.

16. Data Created or Received and Maintained for the Government by Contractors

a. Contractors performing Congressionally-mandated program functions are likely to create or receive data necessary to provide adequate and proper documentation of these programs and to manage them effectively. Commands shall specify the delivery to the Government of all data needed for the adequate and proper documentation of contractor-operated programs per recordkeeping requirements of this instruction and with requirements of the Federal Acquisition Regulation (FAR) and the Defense Federal Acquisition Regulation Supplement (DFARS).

b. When contracts involve the creation of data for the Government's use, in addition to specifying a final product, command officials may need to specify the delivery of background data that may have reuse value to the Government. Before specifying the background data that contractors must deliver to the agency, program and contracting officials shall consult with appropriate Government officials to ensure that all command and Government needs are met, especially when the data

deliverables support a new command mission or a new Government program.

c. Deferred ordering and delivery-of-data clauses and rights-in-data clauses shall be included in contracts whenever necessary to ensure adequate and proper documentation or because the data have reuse value to the Government.

d. When data deliverables include electronic records, the command shall require the contractor to deliver sufficient technical documentation to permit the command or other Government agencies to use the data.

e. All data created for Government use and delivered to, or falling under the legal control of the Government are Federal records and shall be managed per records management legislation as codified at 44 U.S.C. chapters 21, 29, 31 and 33, the FOIA (5 U.S.C. 552), and the PA (5 U.S.C. 552a), and shall be scheduled for disposition per this instruction.

17. **Electronic Records.** The abundance of office automation challenges all who create records to ensure that records of the federal government that are created through office automation are identified and appropriately preserved.

a. General. Any information created, received, transmitted, maintained, or managed as an organization record that can be read by using a computer or any other electronic device, that satisfies the definition of a Federal record, shall be considered an electronic record. This includes, but is not limited to, records stored in digital or analog form, regardless of medium. The statutory definition of a record can be found on page 2 of the basic instruction. Simply put, a 'record' consists of information, regardless of medium, detailing the transaction of business. Electronic documents are records the same as paper documents. In practice, there is no difference between managing electronic and paper records.

b. Creation. Before a document is created on an electronic records system that will maintain the official file copy, each document must be identified sufficiently to enable authorized personnel to retrieve, protect, and dispose of it.

c. Naming Files. Naming electronic files resembles labeling paper file folders. When naming subdirectories or 'folders,' use the SSIC number and any logical combination of alphanumeric characters permitted by the operating system and descriptive of the series. For

example, a subdirectory labeled 5240 would show General Administration and Management files containing correspondence on industrial methods that are destroyed after 5 years.

d. Records Management Standards. The following standards for management of electronic mail messages records must be met:

(1) Transmission and receipt data must be preserved for each electronic mail record in order for the context of the message to be understood.

(2) Electronic mail systems that identify users by codes or nicknames or identifies sender and addressee(s) only by the name of a distribution list shall include as part of the record the true identity of sender and addressee(s) by employee name(s) or position(s).

(3) When using an electronic mail system that allows users to request acknowledgements or receipts showing that a message reached the mailbox or in box of each addressee, or that an addressee opened the message:

(a) Require acknowledgements or receipts be used only when the information is important to the mission as evidence of the transaction of official business.

(b) Preserve acknowledgements and receipts as part of the record.

(4) Electronic mail systems with the capability to access external electronic mail systems shall ensure that records sent or received using this capability are managed the same as other electronic mail records.

(5) Calendars and task lists provided for use by users of some electronic mail systems may meet the definition of a record, and shall be managed accordingly.

(6) Any recordkeeping system (electronic or non-electronic) that includes the content of electronic mail messages must:

(a) Provide for the grouping of related records into classifications according to the nature of the mission the records serve.

(b) Permit easy and timely retrieval of both individual records and files or other groupings of related records.

(c) Retain the records in a usable format for their required retention period as specified in approved records schedules.

(d) Be accessible by individuals who have a mission need for information in the system.

(e) Preserve transmission and receipt data.

(f) Permit transfer of permanent records to the NARA as follows:

1. Magnetic Tape. Computer magnetic tape is a fragile medium, highly susceptible to the generation of error by improper care and handling. To ensure that permanently valuable information stored on magnetic tape is preserved, activities should schedule files for disposition as soon as possible after the tapes are written. When NARA has determined that a file is worthy of preservation, the activity should transfer the file to NARA as soon as it becomes inactive or whenever the activity cannot provide proper care and handling of the tapes to guarantee the preservation of the information they contain. Electronic records shall be transferred to the NARA either on open reel magnetic tape or on tape cartridges. Open reel magnetic tape shall be on one-half inch 9 track tape reels recorded at 800, 1600, or 6250 bpi. Tape cartridges shall be 18 track 3480 class cartridges recorded at 37,871 bpi. The data shall be written in ASCII or EBCDIC with all extraneous control characters removed from the data (except record length indicators for variable length records, or marks designating a datum, word, field, block or file), blocked at not higher than 32,760 bytes per block. The open reel magnetic tapes or the tape cartridges on which the data are recorded shall be new or recertified tapes which have been passed over a tape cleaner before writing and shall be rewound under controlled tension.

2. CD-ROM. Permanent records may be transferred and accessioned into the National Archives on CD-ROM's provided that they: contain fielded data files or text files only; meet International Standards Organization (ISO) 9660 standard; are in American Standard Code for Information Interchange (ASCII) as defined in Federal Information Processing Standard 1-2 (11/14/84); are not dependent on control characters or codes which are not defined in the ASCII character set; are not compressed unless the software to decompress the files is provided; are individually addressable; and, in compliance with the documentation requirements listed below.

3. Documentation. Documentation adequate for servicing and interpreting electronic records that have been designated for preservation by NARA shall be transferred with them. This documentation shall include, but not necessarily be limited to completed NARA Form 14097, Technical Description for Transfer

of Electronic Records, or its equivalent. Where it has been necessary to strip data of its extraneous control characters, the codebook specifications defining the data elements and their values must match the new format of the data. Guidelines for determining adequate documentation may be obtained from the Office of Records Administration (NI), National Archives and Records Administration, Washington, DC 20408.

e. Electronic Mail Records Storage

(1) Electronic mail messages that have been determined to be records may be stored only on the electronic mail system when the electronic mail system meets the Functional Baseline Requirements for Records Management Application Software (available from the DOD Records Management Task Force, (703) 604-1575).

(2) When electronic mail messages are not stored on the mail system, users shall receive training on the procedures for copying or moving records from the mail system to an approved recordkeeping system. The provisions of paragraph 6(f) and the DOD Automated Document Conversion Master Plan (available from the DOD Records Management Task Force) shall also apply.

(3) When electronic mail records are stored in an offline electronic format (e.g., optical disk, magnetic tape) the electronic format must meet the requirements in this manual.

(4) When a mail record is migrated to another medium (e.g., paper, microfiche) for storage, related transmission and receipt data shall be included as part of the record.

f. Electronic mail records may not be destroyed or otherwise disposed of except under the authority of an approved records schedule. This applies to the original version of the record that is sent or received on the electronic mail system and any copies that have been transferred to a recordkeeping system.

(1) When the necessary steps have been taken to retain an electronic mail message in a recordkeeping system, the identical version that remains on the user's screen or in the user's mailbox may have no continuing value. Disposition of the version on the electronic mail system is authorized after the record has been properly preserved and scheduled in a recordkeeping system along with all appropriate transmission and receipt data.

(2) The disposition of electronic mail records that have been transferred to an appropriate recordkeeping

system is governed by the approved records schedule(s) that controls other records in that system. When the records in that system have not been scheduled, they may not be destroyed.

(3) When eligible for destruction, the electronic version of an electronic mail message, should be destroyed in the same manner prescribed as for other electronic records.